

RECEIVED
CENTRAL FAX CENTER

JAN 14 2005

1585 Broadway
New York, NY 10036-6299
Telephone 212.969.3000
Fax 212.969.2900LOS ANGELES
WASHINGTON
BOSTON
BOCA RATON
NEWARK
NEW ORLEANS
PARIS

PROSKAUER ROSE LLP

Date January 14, 2005 Client-Matter 74577-070
Total Pages (Including Cover) 45

Fax Transmittal

From John C. Stellabotte

Sender's Voice Number 212.969.3413

Sender's Room Number 17-44

Sender's Email Address jstellabotte@proskauer.com

Main Fax Number 212.969.2900

To: Examiner: Romain Jeanty

Fax No.: 703.305.7687

Company: United States Patent and Trademark Office

Voice No.: 703.308.9585

Message

Re: Inventor : Charles L. Mauro
Serial No. : 09/292,552
Filing Date : April 15, 1999
Title : COMPUTER TRADING SYSTEM, METHOD AND INTERFACE
Att'y Docket : 74577-070

Attached please find the following:

- 1) Request for Continued Examination (RCE) Transmittal (in duplicate)
- 2) Petition for Extension of Time under 37 CFR 1.136 (a)
- 3) Revocation of Power of Attorney/New Power of Attorney w/ Statement under 37 CFR 3.73(b)
- 4) Response with Petition for 3-Month Extension of Time and Request for Continued Examination under 37 C.F.R. § 1.114

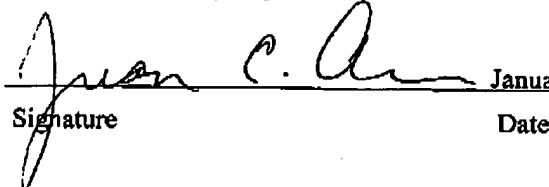
Please contact John C. Stellabotte at (212) 969-3413.

FACSIMILE TRANSMISSION CERTIFICATE

I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Juan C. Arias

Name of person signing the certification



Signature

Date

Confidentiality Note: This message is confidential and intended only for the use of the addressee(s) named above. It may contain legally privileged material. Dissemination, distribution or copying of this message, other than by such addressee(s), is strictly prohibited. If you have received this message in error, please immediately notify us by telephone and return the original to us at the address above. We will reimburse you for the cost of the telephone call and postage. Thank you.

Pages missing 18-45

PTO/SB/06 (09-04)

Approved for use through 07/31/2005. OMB 0651-0031
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Charles L. Mauro et al.Application No./Patent No.: 09/292,552 Filed/Issue Date: April 15, 1999Entitled: **COMPUTER TRADING SYSTEM METHOD AND INTERFACE**UBS AGCorporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

In the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Charles L. Mauro and Walter D. Bulst To: Wit Capital Corporation
The document was recorded in the United States Patent and Trademark Office at
Reel 5918, Frame 0287, or for which a copy thereof is attached.

2. From: Andrew D. Klein To: Wit Capital Corporation
The document was recorded in the United States Patent and Trademark Office at
Reel 009028, Frame 0775, or for which a copy thereof is attached.

3. From: Wit Capital Corporation To: Charles Schwab & Co., Inc.
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☒ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Gregg I. Goldman
Signature

January 14, 2005

Date

203.719.3099

Telephone Number

Director and Senior Counsel, Technology and
Intellectual Property, UBS AG, Stamford Branch
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Serial No. 09/292,552

Statement Under 37 CFR 3.73 (b)

B. Supplemental Sheet for additional documents in the chain of title.

4. From: Charles Schwab & Co. Inc To: Schwab Capital Markets, L.P.
The document was recorded in the United States Patent and Trademark Office at
Reel, 015292, Frame 0377, or for which a copy thereof is attached.
5. From: Schwab Capital Markets, L.P. To: UBS Capital Markets L.P.
The document was recorded in the United States Patent and Trademark Office at
Reel, _____, Frame _____, or for which a copy thereof is attached.
6. From: UBS Capital Markets L.P. To: UBS AG
The document was recorded in the United States Patent and Trademark Office at
Reel, _____, Frame _____, or for which a copy thereof is attached.

Arias, Juan

From: EPAS Server [epas-server@uspto.gov]
Sent: Thursday, January 13, 2005 5:18 PM
To: Arias, Juan
Subject: Assignment confirmation receipt ID: PAT19234



EASPAT19234.html
(4 KB)

ELECTRONIC PATENT ASSIGNMENT SYSTEM (EPAS) CONFIRMATION RECEIPT

The USPTO has received a Patent Assignment submitted through the Electronic Patent Assignment System (EPAS). This is the only acknowledgement of receipt that will be transmitted for this EPAS submission. The submission may not be recalled.

After review by Assignment Services Division personnel a Notice of Recordation/Non-Recordation will be returned via fax. USPTO will attempt to fax to the number provided in the submission; fax failures will be delivered via US Postal Service to the Correspondence Address provided in the submission.

If a communication from the Assignment Services Division has not been received within 60 days of your confirmation receipt contact the Assignment Services Division Customer Service Desk at 703-308-9723 or send an e-mail to epas@uspto.gov.

If you have a technical question, comment or concern about your EPAS submission call 703-308-9723 during business hours or e-mail to epas@uspto.gov. Please have your EPAS receipt ID which is 'EASPAT19234' available when calling or writing for assistance.

A printable version of the Confirmation Receipt is attached to this e-mail.

Electronic Assignment Server at <http://epas.uspto.gov>

PATENT ASSIGNMENT

Electronic Version v1.1

Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	CHANGE OF NAME
CONVEYING PARTY DATA	
Name	Execution Date
Schwab Capital Markets L.P.	10/29/2004
RECEIVING PARTY DATA	
Name:	UBS Capital Markets L.P.
Street Address:	111 Pavonia Avenue East
City:	Jersey City
State/Country:	NEW JERSEY
Postal Code:	07310
PROPERTY NUMBERS Total: 4	
Property Type	Number
Application Number:	09292552
Application Number:	10666817
Application Number:	09845224
Patent Number:	6408282
CORRESPONDENCE DATA	
Fax Number:	(212)969-2900
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	212.969.4138
Email:	jarias@proskauer.com

Correspondent Name: Juan C. Arias
Address Line 1: 1585 Broadway
Address Line 2: Proskauer Rose LLP
Address Line 4: New York, NEW YORK 10036

NAME OF SUBMITTER: Juan C. Arias

Signature: /Juan C. Arias/

Date: 01/13/2005

Total Attachments: 3
source=UBS#page1.tif
source=UBS#page2.tif
source=UBS#page3.tif

RECEIPT INFORMATION

EPAS ID: PAT19234
Receipt Date: 01/13/2005
Fee Amount: \$160

DIVISION OF REVENUE

Fax: 609-984-6708

Nov 1 2004 16:49

P.02

NOV. 1. 2004 9:42AM

CSC

Nov 1 2004 8:42

NO. 054

FILED

NOV 1 2004

STATE TREASURER

**AMENDED AND RESTATED
LIMITED PARTNERSHIP CERTIFICATE
OF
SCHWAB CAPITAL MARKETS L.P.**

(Pursuant to N.J.S.A. 42:2A-17)

The undersigned, desiring to amend and restate the Limited Partnership Certificate of Schwab Capital Markets L.P. to change its name and general partner pursuant to the Revised Uniform Limited Partnership Act as in effect in the State of New Jersey, does hereby certify as follows:

1. The name of the limited partnership is UBS Capital Markets L.P. (the "Partnership"). The name under which the original limited partnership was formed was Schwab Capital Markets L.P. The date of the filing of the original certificate was January 28, 2000.

2. The Partnership will engage in the financial services business and may engage in any activity for which limited partnerships may be organized under the laws of the State of New Jersey.

3. The address of the original registered office of the Partnership is c/o Corporation Service Company, 830 Bear Tavern Road, West Trenton, New Jersey 08628. The Partnership's original registered agent at that address is Corporation Service Company.

4. The name and business address of the general partner of the Partnership (the "General Partner") is as follows:

UBS Americas Inc.
677 Washington Blvd.
Stamford, CT 06901

5. The initial cash contribution by the General Partner was \$100.00. The initial cash contribution by the Limited Partner was \$900.00. Thereafter, the General Partner shall contribute an amount of cash equal to one percent (1%) of the aggregate Capital Contributions of the Partners; provided, however, that the General Partner shall not make any contribution with respect to the aggregate Capital Contributions made in exchange for Preferred Limited Partnership Interests in the Partnership, and the Limited Partners shall contribute an amount of cash or other property equal to ninety-nine percent (99%) of the aggregate Capital Contributions of the Partners, which percentage shall be determined without reference to the contributions made in exchange for Preferred Limited Partnership Interests in the Partnership.

6. Except as otherwise required by law or as specified in Paragraph 5, no Partner has agreed, nor shall any partner be obligated to make any additional capital contributions to the Partnership.

7. An assignee of a Limited Partner shall become a limited partner only with the consent of all other Partners.

8. No Partner may resign or withdraw from the Partnership except upon the written consent of all other Partners.

51473250
J2797085

200082976

BEST AVAILABLE COPY

DIVISION OF REVENUE

Fax:609-984-6708

Nov 1 2004 16:49

P.03

NOV. 1, 2004 9:42AM

CSC

Nov 1 2004 8:42

NO.054 P.3/4

9. Distributions of cash or property shall be made from the Partnership to the Partners at such times as the General Partner may determine.

10. The Partnership shall be dissolved upon the earliest to occur of the following events:

(i) The written consent of all the Partners; or

(ii) The withdrawal, death, legal incapacity, removal, dissolution or bankruptcy, or the occurrence of any other event or withdrawal of the General Partner unless at the time of such withdrawal there is at least one remaining General Partner and within ninety days after such withdrawal the remaining Partners agree in writing to continue the business of the Partnership, provided that, if at the time of such withdrawal there are no General Partners remaining, the Partnership is not dissolved and is not required to be wound up by reason of any event of withdrawal if within ninety days after the occurrence of such event, all Partners other than the withdrawn General Partner agree in writing to continue the business of the Partnership and to the appointment, effective as of the date of such event, of one or more substitute or additional general partners of the Partnership.

11. The address of the principal office of the Partnership is:

111 Pavonia Avenue East
Jersey City, New Jersey 07310

IN WITNESS WHEREOF, the undersigned has executed this Amended and Restated Certificate of Limited Partnership as of October 29, 2004.

UHS AMERICAS INC.,
General Partner


Name: Jeffrey H. Laska
Title: Vice President


Name: Jane E. Nutson
Title: Assistant Secretary

DIVISION OF REVENUE Fax: 609-984-6708

Nov 1 2004 16:50

P.04

Nov 1 2004 8:42

NOV. 1.2004 9:43AM CSC

NO. 054 P. 4/4

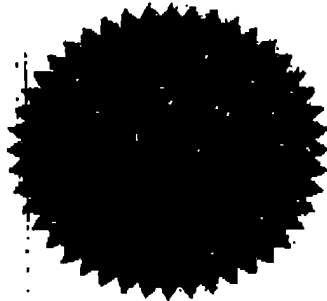
STATE OF NEW JERSEY
DEPARTMENT OF TREASURY
NAME RESERVATION

UBS CAPITAL MARKETS L.P.

I, the Treasurer of the State of New Jersey,
do hereby certify that the above mentioned business
name has been reserved through January 27th, 2005.
This action has been completed in accordance with New
Jersey's laws governing name availability and name
reservation/registration.

This name has been reserved for:
Corporation Service Company
830 Bear Tavern Road
West Trenton, NJ 08628

IN TESTIMONY WHEREOF, I have
hereunto set my hand and
affixed my Official Seal
at Trenton, this
29th day of September, 2004



John E. McCormac, CPA
State Treasurer

Note: Legal authority for this reservation/registration is based upon
the business type involved. (Title 14A -- for-profit domestic and
foreign corporations. Title 15A -- non-profit domestic and foreign
corporations. Title 42:2A -- foreign and domestic limited partnerships.
Title 42:2b -- limited liability companies).

Arias, Juan

From: EPAS Server [epas-server@uspto.gov]
Sent: Friday, January 14, 2005 1:54 PM
To: Arias, Juan
Subject: Assignment confirmation receipt ID: PAT19317



EASPAT19317.html
(5 KB)

ELECTRONIC PATENT ASSIGNMENT SYSTEM (EPAS) CONFIRMATION RECEIPT

The USPTO has received a Patent Assignment submitted through the Electronic Patent Assignment System (EPAS). This is the only acknowledgement of receipt that will be transmitted for this EPAS submission. The submission may not be recalled.

After review by Assignment Services Division personnel a Notice of Recordation/Non-Recordation will be returned via fax. USPTO will attempt to fax to the number provided in the submission; fax failures will be delivered via US Postal Service to the Correspondence Address provided in the submission.

If a communication from the Assignment Services Division has not been received within 60 days of your confirmation receipt contact the Assignment Services Division Customer Service Desk at 703-308-9723 or send an e-mail to epas@uspto.gov.

If you have a technical question, comment or concern about your EPAS submission call 703-308-9723 during business hours or e-mail to epas@uspto.gov. Please have your EPAS receipt ID which is 'EASPAT19317' available when calling or writing for assistance.

A printable version of the Confirmation Receipt is attached to this e-mail.

Electronic Assignment Server at <http://epas.uspto.gov>

PATENT ASSIGNMENT

Electronic Version v1.1

Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
UBS Capital Markets L.P.	01/14/2005
RECEIVING PARTY DATA	
Name:	UBS AG
Street Address:	G-409 Szthroe Talstrasse 83
City:	Zurich
State/Country:	SWITZERLAND
Postal Code:	8001
PROPERTY NUMBERS Total: 4	
Property Type	Number
Application Number:	09292552
PCT Number:	US0329537
Application Number:	10666817
Application Number:	09845224
CORRESPONDENCE DATA	
Fax Number:	(212)969-2900
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	212.969.4138
Email:	jarias@proskauer.com

Correspondent Name: Juan C. Arias
Address Line 1: 1585 Broadway
Address Line 2: Proskauer Rose LLP
Address Line 4: New York, NEW YORK 10036

DOMESTIC REPRESENTATIVE

Name:
Address Line 1:
Address Line 2:
Address Line 3:
Address Line 4:

NAME OF SUBMITTER:	Juan C. Arias
---------------------------	---------------

Signature:	/Juan C. Arias/
-------------------	-----------------

Date:	01/14/2005
--------------	------------

Total Attachments: 8
source=UBS#page1.tif
source=UBS#page2.tif
source=UBS#page3.tif
source=UBS#page4.tif
source=UBS#page5.tif
source=UBS#page6.tif
source=UBS#page7.tif
source=UBS#page8.tif

RECEIPT INFORMATION

EPAS ID: PAT19317
Receipt Date: 01/14/2005
Fee Amount: \$160

Attorney Docket No.: 74577-070

ASSIGNMENT OF PATENT APPLICATION

For value received, the undersigned sell(s), assign(s) and transfer(s) a 100 % interest to:

UBS AG

a corporation organized under the laws of: **Switzerland**
and having a place of business at: **G-409 Szhroe Talstrasse 83,
8001 Zürich, Switzerland**

to its successors, assigns and legal representatives or nominees as it may designate (collectively, hereinafter, "Assignee"), the entire right, title and interest, for:

— The United States of America and Its Territories and Commonwealth and Possessions X All countries throughout the world

in and to all inventions and improvements disclosed in an application for United States Patent entitled:

COMPUTER TRADING SYSTEM, METHOD AND INTERFACE

The above-entitled United States Patent application was:

— executed by the undersigned on: _____
X filed in the United States Patent and Trademark Office on: April 15, 1999
and assigned serial number: 09/292,552
— filed as PCT International Application No.: _____
on: _____

The undersigned assign(s) to Assignee the rights for all patents, divisions, reissues, reexamination certificates, continuing applications and extensions thereof, which may be granted based on the above patent application, together with the right of priority of any earlier corresponding patent application filed by the undersigned in the United States or elsewhere.

The undersigned covenant(s) that the rights and property conveyed by this Assignment are free and clear of any encumbrance, and that the undersigned have (has) full right to convey the rights and property as expressed herein.

**This Page is Inserted by IFW Indexing and Scanning
Operations and is not part of the Official Record**

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ **BLACK BORDERS**
- ☐ **IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- ☐ **FADED TEXT OR DRAWING**
- ☐ **BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- ☐ **SKEWED/SLANTED IMAGES**
- ☐ **COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- ☐ **GRAY SCALE DOCUMENTS**
- ☒ **LINES OR MARKS ON ORIGINAL DOCUMENT**
- ☐ **REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- ☐ **OTHER:** _____

IMAGES ARE BEST AVAILABLE COPY.

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.